



STANFORD UNIVERSITY
SLAC National Accelerator Laboratory
 Operated by Stanford University for the U.S. Department of Energy



DOE Order 413.2C, Laboratory Directed Research and Development (10/22/2015)

Site Compliance Plan (final rev., 07/07/2016)

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Introduction:

This Site Compliance Plan (SCP):

- a) corresponds with the version of the DOE Order on Laboratory Directed Research and Development listed in the Prime Contract,
- b) states how the Laboratory complies with applicable requirements as tailored to the risks at the Laboratory,
- c) identifies CRD sections that do not apply, and
- d) documents DOE-approved methods of compliance for applicable requirements and recurring deliverables*.

Impact on the Contract:

Under the SCP, sections of the CRD are incorporated into the Contract as-is, unless the SCP indicates that a section or portion thereof is inapplicable, or the section has been changed. Thus, for example, if “In compliance” is listed next to a CRD section, that section is incorporated into the Contract as-is. However, where an SCP indicates that a section or portion thereof is inapplicable, the section or portion thereof is excluded from the Contract. In addition, where a section or portion thereof is applicable, but changes to the section have been agreed by the Parties, the section, as modified by the Parties, shall be incorporated into the Contract. The SCP also memorializes the Parties’ agreement on how SLAC will comply with sections of the CRD (whether or not modified).

Attachment 1 - Contractor Requirements Document (CRD)

CRD §	Requirements from CRD, Attachment 1	Compliance Status	Method of Compliance	Deliverables* (managed through SLACTrak)			
				Item	Frequency	Due Date(s)	Recipient (e.g., SSO)
1.	Establish and maintain a management system to ensure that the laboratory directed research and development (LDRD) program meets the following requirements.	Outlined in sections below					
1.a.	LDRD projects must be in the forefront areas of science and technology relevant to Department of Energy (DOE)/National Nuclear Security Administration (NNSA) missions. Normally LDRD projects will be relatively small and will	In compliance	Once a year, SLAC conducts a 3-phase review process of the proposals submitted to the LDRD program to ensure that these are at the forefront of their field and that the impact of the deliverables is significant and relevant to the missions of the Laboratory and DOE. The stages of this review process are: a) an external peer-review b) an	n/a	n/a	n/a	n/a

*Deliverables: Data delivered to DOE or other external agency (e.g., recurring reporting)



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	also include one or more of the following characteristics— (1) advanced study of hypotheses, concepts, or innovative approaches to scientific or technical problems; (2) experiments and analyses directed towards “proof of principle” or early determination of the utility of new scientific ideas, technical concepts, or devices; and (3) conception and preliminary technical analyses of experimental facilities or devices.		internal panel (SLAC/Stanford U. members) review where lead investigators present and answer questions and c) a strategic alignment review conducted by the Laboratory’s Science Council on the top 40% of the ranked proposals following stages a), b).				
1.b.	Normally LDRD projects will be limited to a maximum period of performance of 36 months. Exceptions may be granted by the cognizant Secretarial Officer (CSO)/Deputy Administrator, NNSA, or his/her authorized designee.	In compliance	LDRD funds are awarded at SLAC typically for a 2-year project period to allow for a rapid throughput of scientific results and new ideas. This award period also ensures that the work performed does not exceed 36 months. For exceptional cases, 3 year awards have been allowed, and for these as well as all other projects, costs are tracked to ensure that work is performed as planned and in compliance with the 36-month limit.	n/a	n/a	n/a	n/a
1.c.	DOE must annually concur on each LDRD project before the project is started or continued.	In compliance	The SLAC Laboratory Director submits an annual concurrence letter of the selected LDRD awards to the SSO Manager for approval prior to the start of the fiscal year. In cases where additional LDRD project are authorized after the start of the fiscal year, a revised concurrence letter is prepared and re-submitted to the SSO for approval.	Concurrence letter from Laboratory Director	Annual	9/15	SSO

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1.d.	The maximum funding level established for LDRD must not exceed the congressionally mandated limit ¹ of a laboratory's total operating and capital equipment budgets for the year. For the purposes of this policy, the operating and capital equipment budget includes non-DOE funded work, but excludes line-item construction activities and LDRD.	In compliance	The concurrence letter that the SLAC Laboratory Director submits to the SSO Manager includes a ceiling amount that is calculated to be below the congressionally mandated limit.	n/a	n/a	n/a	n/a
1.e.	Establish a cost accounting system that ensures that no individual program, project, or activity is charged more than the statutory maximum limit authorized for LDRD. Attachment 1 DOE O 413.2C (1) DOE laboratories shall allocate LDRD costs by applying a uniform rate to the same base that is used to calculate the LDRD budget for the year (See 1. d. above). (2) This methodology shall be described in the Cost Accounting Standards disclosure statement and	In compliance	Rate plans are programmed into the cost accounting system to apply LDRD appropriately.	LDRD Certification	Annual	11/15	SSO

¹ The Consolidated Appropriations Act, 2014, P.L. 113-076 sets the maximum LDRD funding level to 6% of the total operating and capital equipment budget of a laboratory.



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	approved by DOE.						
1.f.	LDRD expenditures are considered allowable costs in accordance with the terms and conditions of the laboratory operating contract and must be identified in the laboratory accounting system. LDRD constitutes a final cost objective and must be treated in the same manner as non-LDRD final cost objectives in accordance with the site's normal cost accounting practices, with the exception that LDRD is not burdened with LDRD.	In compliance	An attribute resides in the accounting system that identifies all projects (charge numbers) that are created for LDRD activities.	n/a	n/a	n/a	n/a
1.g.	Costs must be incurred for LDRD projects in the same fiscal year in which the LDRD funds are collected.	In compliance	There is no carry-over of LDRD funds.	n/a	n/a	n/a	n/a
1.h.	LDRD funds must not be used to— (1) substitute for or increase funding for any tasks for which a specific limitation has been established by Congress or the Department or for any specific tasks that are funded by DOE/NNSA or other users of the laboratory; (2) fund projects that will require the addition of non-LDRD funds to accomplish the technical goals of the LDRD project, except as provided by legislation;	In compliance	The scope of work and budget allocation of the LDRD projects is reviewed against these requirements prior to the award decision. The LDRD program also holds a kickoff meeting at the start of the fiscal year to communicate these requirements. Compliance is further ensured via mid-year progress reports and discussion with the LDRD Program Manager.	n/a	n/a	n/a	n/a

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	(3) fund construction design beyond the preliminary phase (e.g., conceptual design, Title I design work, or any similar or more advanced design effort) or fund line-item construction projects, in whole or in part; or (4) fund general purpose capital expenditures with the exception of acquisition of general purpose equipment that is clearly required for the project and is not otherwise readily available from the laboratory inventory.						
1.i.	The LDRD program must— (1) include all discretionary research and development activities other than those provided for in a DOE/NNSA program or by specific designation in a DOE contract and (2) be consistent with all other applicable requirements for similar research and development activities at the laboratory.	In compliance	Discretionary R&D is funded by the LDRD program in a manner consistent with our Prime Contract and excludes activities funded by other DOE programs. Our proposal review process, specifically the Laboratory Science Council review phase, ensures compliance with this requirement.	n/a	n/a	n/a	n/a
2.	Establish criteria that emphasize innovative scientific and technological excellence for selection of projects using internal peer and/or technical management	In compliance	See 1.a. Technical review criteria asks for assessment on impact to the field, degree of innovation, proposed research methods and feasibility. SLAC LDRD proposals originate from	n/a	n/a	n/a	n/a

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	review. A significant number of the projects selected should be those independently proposed by individual researchers or small multidisciplinary teams.		individual researchers or small multidisciplinary teams.				
3.	Submit an annual LDRD program plan for approval to the CSO/Deputy Administrator, NNSA, and the responsible DOE/NNSA site office manager at least 45 days before the start of the fiscal year. The plan must provide a requested funding level, general description, and justification of the LDRD program; the plan must also explain how this program will meet laboratory needs, support the laboratory's mission, and benefit DOE/NNSA and the nation.	In compliance	SLAC submits an annual LDRD program plan.	LDRD Program Plan	Annual	8/15	CSO/Deputy Administrator and SSO
4.	Submit an annual written report on the laboratory's LDRD activities to the CSO/Deputy Administrator, NNSA, and the responsible DOE/NNSA site office manager within 6 months after the end of the fiscal year. The annual report must include an overview of the program as well as a short summary of each funded project. Additionally, each laboratory must provide a report on completed projects to the Office of Scientific and Technical	In compliance	SLAC submits an annual LDRD program report.	Written Report on LDRD Activities	Annual	3/31	CSO/Deputy Administrator and SSO

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	Information.						
5.	Report annually on the standard LDRD program performance measures, and collect and provide other data on the LDRD program as negotiated with the CSO/Deputy Administrator, NNSA.	In compliance	In response to the data call for the annual DOE LDRD report to Congress, SLAC collects standard program performance measures as requested by the CSO/Deputy Administrator within 45 days after the closeout of the fiscal year.	Standard LDRD Program Performance Measures (and other data as negotiated)	Annual	11/15	CSO/Deputy Administrator
6.	Lead or participate in LDRD program reviews of the business and technical aspects of the program.	In compliance	The LDRD program strategy is reviewed once a year during the SLAC Scientific Policy Committee meeting. Business aspects of the program are reviewed annually with the Senior Management Team of the Lab.	n/a	n/a	n/a	n/a
7.	Submit to the CSO/NNSA Deputy Administrator or his/her designee requests for exceptions to the LDRD maximum 36-month performance period.	In compliance	In the unexpected event that a project exceeds 36 months performance period, the LDRD Program Manager will submit a letter to the CSO Deputy Administrator to request an exemption.	n/a	n/a	n/a	n/a
8.	Evaluate the quality of science and technology of the LDRD projects.	In compliance	See 1.a. The progress of ongoing LDRD projects is evaluated annually with Senior Management and authorization to continue is contingent upon the quality of accomplishments or expected results.	n/a	n/a	n/a	n/a
9.	Annually submit a project data sheet to the responsible DOE/NNSA site office manager for each LDRD project.	In compliance	Data sheets are compiled in the Annual LDRD program report (see 4) and submitted as part of that report. Data sheets for each LDRD project consist of a brief summary of the project and its accomplishments, as well as the standard LDRD performance metrics (e.g. # of publications, # of postdocs hired, follow-on funding, #of patents).	n/a	n/a	n/a	n/a

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Name	Title	Signature	Date
Mark Hartney	Director, Office of Strategic Planning, SLAC	(on file)	
Hanley Lee	Deputy Site Manager, SSO	(on file)	

Please return signed document to: Contract Management, MS 75